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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/627,626	07/28/2003	2816	750	10392/460043	16	1	1

Bradley J. Meier  
 KENYON & KENYON  
 Suite #700  
 1500 K Street, N.W.  
 Washington, DC 20005



CONFIRMATION NO. 4309

## FILING RECEIPT



\*OC000000011093058\*

Date Mailed: 10/23/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Steven M.H. Wallman, Great Falls, VA;

## Domestic Priority data as claimed by applicant

This application is a DIV of 09/139,020 08/24/1998 PAT 6,601,044  
 which is a CIP of 09/038,158 03/11/1998

## Foreign Applications

If Required, Foreign Filing License Granted: 10/23/2003

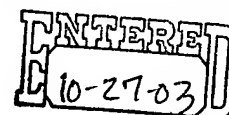
Projected Publication Date: 01/29/2004

Non-Publication Request: No

Early Publication Request: No

## Title

Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis





**PATENT**  
**Docket No.:10392/460043**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT : Steven M.H. WALLMAN

SERIAL NO. : 10/627,626

FILING DATE : July 28, 2003

FOR : METHOD AND APPARATUS FOR ENABLING INDIVIDUAL  
OR SMALLER INVESTORS OR OTHERS TO CREATE AND  
MANAGE A PORTFOLIO OF SECURITIES OR OTHER  
ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS

GROUP ART UNIT : 2816

EXAMINER : Unknown

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**REQUEST FOR CORRECTED FILING RECEIPT**

SIR:

Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

The errors are listed below.

**ERROR IN**

Title

METHOD AND APPARATUS FOR  
ENABLING INDIVIDUAL OR SMALLER  
INVESTORS OR OTHERS TO CREATE  
AND MANAGE PORTFOLIO OF  
SECURITIES OR OTHER ASSETS OR  
LIABILITIES ON A COST EFFECTIVE  
BASIS

**CORRECT DATA**

Title should read:

METHOD AND APPARATUS FOR  
ENABLING INDIVIDUAL OR SMALLER  
INVESTORS OR OTHERS TO CREATE  
AND MANAGE A PORTFOLIO OF  
SECURITIES OR OTHER ASSETS OR  
LIABILITIES ON A COST EFFECTIVE  
BASIS

**Docket No.: 10392/460043**

The Examiner is invited to call the undersigned at (202) 220-4200 to discuss any information concerning this application.

Although applicants believe no fee is associated with this Request because the correction results from USPTO error, the office is hereby authorized to charge any additional fees under 37 C.F.R. § 1.16 or § 1.17 or credit any overpayment to Deposit Account No. 11-0600.

Respectfully submitted,

Date: 3 Nov 2003

  
Bradley J. Meier Reg. 44,236

KENYON & KENYON  
1500 K Street, N.W., Suite 700  
Washington, D.C. 20005-1257  
Telephone: (202) 220-4200  
Facsimile: (202) 220-4201